

A.D. 1.9, Audits - Prepared for signature 2/8/99 - effective 3/15/99

1. Policy. Audits shall be conducted at each correctional facility, community based and Health Service unit to ensure compliance with Department Directives.
2. Authority and Reference.
 - A. Connecticut General Statutes, Section 18-81.
 - B. American Correctional Association, Standards for the Administration of Correctional Agencies, Second Edition, April 1993, Standards 2-CO-1A-20 and 2-CO-1A-21.
 - C. American Correctional Association, Standards for Adult Correctional Institutions, Third Edition, January 1990, Standard 3-4018.
 - D. American Correctional Association, Standards for Adult Local Detention Facilities, Third Edition, March 1991, Standard 3-ALDF-1A-17.
 - E. American Correctional Association, Standards for Adult Probation and Parole Field Services, Third Edition, August 1998, Standard 3-3023.
 - F. American Correctional Association, Standards for Correctional Training Academies, May 1993, Standard 1-CTA-1A-14.
3. Definitions. For the purposes stated herein, the following definitions apply:
 - A. Audit. A procedure to evaluate a unit's compliance through a detailed examination of that unit's operations.
 - B. Compliance. The attainment and maintenance of standards and requirements set forth in Connecticut General Statutes, Regulations and Administrative Directives.
 - C. Non-compliance. The failure to attain and maintain standards and requirements set forth in Connecticut General Statutes, Regulations and/or Administrative Directives.
4. Audits. Each complex, correctional facility, community based and Health Service unit shall conduct ongoing reviews to ensure compliance with all statutes, regulations and Directives. Each Division shall, at a minimum, conduct an annual audit at each complex, correctional facility, community based unit and/or Health Service unit consistent with its functional responsibility.
 - A. Audit Procedure. The audit shall be conducted in accordance with the following procedures:
 1. A master schedule of audits shall be distributed by each Deputy Commissioner in July of each year. The schedule shall identify the functional areas to be audited, division responsible, and expected date of audit.
 2. Upon arrival at the unit, the assigned auditor(s) shall meet with the Unit Administrator to identify the procedures and standards to be audited.
 3. The Unit Administrator shall assign staff as needed to assist in conducting the audit.
 4. The following information and documents shall be reviewed to

determine compliance:

- a. Connecticut General Statutes and Regulations;
- b. Administrative Directives;
- c. Unit Directives;
- d. Interviews with staff and inmates;
- e. Performance observation; and
- f. Operational records.

5. Record of Results and Assessment. The assigned auditor(s) shall record the results of the audit. Upon completion, the auditor shall meet with the Unit Administrator to review the results. A written report shall be prepared and forwarded to the Unit Administrator within two (2) calendar weeks. The report shall list the areas of compliance and/or non-compliance and any additional comments. The Unit Administrator shall develop a written Plan of Corrective Action for any areas of non-compliance within two (2) calendar weeks. The Unit Administrator's immediate supervisor shall approve and ensure compliance with the Plan of Corrective Action. A copy of the audit and Plan of Corrective Action shall be forwarded to the Commissioner through the chain of command within six (6) calendar weeks of the completion of the audit. Upon review and acceptance, by the Commissioner, the audit and Plan of Corrective Action shall be filed by the Division requiring/conducting the audit.
6. Unscheduled Audits and Reviews. Nothing in this Directive shall prohibit a Division Head from conducting unannounced and/or random audits in any relevant area.
7. Exceptions. Any exception to the procedures in this Administrative Directive shall require prior written approval from the Commissioner of Correction.

ATTACHMENT A

Connecticut Department of Correction

AUDIT FORMAT

Each Division shall develop an internal audit format to meet its needs and any necessary requirements. At a minimum the audit format shall contain the following basic information:

- A. Unit audited
- B. Division conducting audit
- C. Person(s) conducting audit
- D. Date(s) of audit
- E. Functional areas audited
- F. Areas of compliance and/or non-compliance, to include:
 - 1. Connecticut General Statutes and Regulations
 - 2. Administrative Directives
 - 3. Unit Directives
 - 4. Documentation from interviews with staff and inmates
 - 5. Documentation from performance observation
 - 6. Operational records
- G. Additional comments
- H. Any necessary written Plan of Corrective Action for any areas of non-compliance to include appropriate time frames.